



# COMMONWEALTH OF KENTUCKY JOB CLASS SPECIFICATION

## FINANCIAL INSTITUTIONS EXAM DIST MGR

Job Number: 20000875

Job Code: 34360V150416

Job Group: 3400 - FINANCIAL EXAMINATION

Job Established: 06/01/1989

Job Revised: 04/16/2015

Grade: 17 Salary (MIN - MID):

\$24,055-\$31,869 - Hourly

\$3,908.94-\$5,178.72 - 37.5 Hr. Monthly Salary

\$4,169.54-\$5,523.96 - 40 Hr. Monthly Salary

Special Entrance Rate:

\$28,443 - Hourly

\$4,622.00 - 37.5 Hr. Monthly Salary

\$4,930.00 - 40 Hr. Monthly Salary

### PROBATIONARY PERIOD:

This job has an initial and promotional probationary period of 6 months. For additional information refer to: <http://www.lrc.ky.gov/kar/101/001/325.htm>.

**CHARACTERISTICS OF THE JOB:** *Characteristics of a job are general statements indicating the level of responsibility and discretion of positions in that job classification. These are not intended to be an exhaustive list.*

Supervises employees and performs professional-level regulatory and resource management duties to ensure the efficient, quality, and timely examination, supervision, and regulation of all state-chartered, licensed, or registered financial institutions or securities entities within a defined industry (branch) and geographic area (district); and performs other duties as required.

### MINIMUM REQUIREMENTS:

#### **EDUCATION:**

Graduate of a college or university with a bachelor's degree in accounting, business administration, economics, finance, or juris doctorate.

#### **EXPERIENCE:**

Must have five years of experience as a financial institutions or securities entity examiner, or as a licensed attorney with the financial services industry; or eight years of professional experience as an officer, accountant, internal auditor, compliance officer, analyst or related professional in a financial institution; or as a licensed securities broker, dealer, agent or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries; or working for a financial institutions regulatory agency or securities industries regulatory agency.

#### **Substitute EDUCATION for EXPERIENCE:**

A masters degree in accounting, business administration, economics, finance or a related field will substitute for up to two years of the required experience on a year-for-year basis.

#### **Substitute EXPERIENCE for EDUCATION:**

Experience as a financial institution or securities entity examiner, or professional experience working for a financial institutions regulatory agency or securities industries regulatory agency will substitute for the required education on a year-for-year basis.

OR Two years of professional experience as an officer, accountant, analyst, internal auditor, compliance officer, or related professional in a financial institution; or as a licensed securities broker, dealer, agent, or investment advisor; or as an investigator of financial fraud in the financial institutions or securities industries will substitute for each year of the required education.

**SPECIAL REQUIREMENTS (AGE, LICENSURE, REGULATION, ETC.):**

Must possess and maintain a valid driver's license prior to appointment in this classification.

**EXAMPLES OF DUTIES OR RESPONSIBILITIES OF THE JOB CLASSIFICATION:** *Examples of duties or responsibilities are not to be construed as describing what the duties or responsibilities of any position shall be and are not to be construed as limiting the appointing authority's ability to assign, or otherwise alter the duties and responsibilities of a position. This is not intended to be an exhaustive list.*

Controls and coordinates the work of employees examining financial institutions and securities entities. Performs the examination/supervision, resource management, and related responsibilities necessary to ensure that the state-regulated financial institutions or securities entities within a defined industry (branch) and geographic area (district) are effectively and efficiently examined, investigated or otherwise supervised in accordance with state and/or federal statutes, administrative regulations, and established departmental policies and procedures. Schedules examinations/investigations and assigns personnel. Serves as examiner-in-charge or assists in conducting examinations/investigations of institutions or entities regardless of size or complexity. Monitors examination processes and reviews examination/investigation report or other written documentation of the examiner's or team's findings. Supervises examiners and evaluates their work product and job performance. Assists in planning and scheduling examiners' technical and career-development training. Recommends personnel actions. Reviews and approves examiners' time sheets, travel vouchers, and training requests. Represents branch, division, and/or agency at management, industry, and/or regulatory conferences. Assists agency's executive management, investigative, and administrative staff in researching and resolving complex and sensitive issues. Keeps abreast of industry trends and regulatory changes and maintains high visibility with regulated industries and, if applicable, with counterparts in other state and/or federal financial institutions or securities regulatory agencies. Trains less experienced examiners.

**UNIQUE PHYSICAL REQUIREMENTS:**

Must be able to transport personal (laptop) computer, printer, adding machine/calculator, and various books and manuals. May occasionally be required to lift file boxes in excess of twenty-five pounds.

**TYPICAL WORKING CONDITIONS:** *Incumbents in the job will typically perform their job duties under these conditions.*

Work is usually performed in the offices of the financial institution or securities entity being examined or investigated. Will require travel usually within a defined geographic area (district). Travel for work outside the district may be required periodically. Work may also be performed in the Department's central office or in one of its field offices.

**ADDITIONAL REQUIREMENTS:**

Upon appointment, employees in this class may be required to maintain a valid driver's license and required to drive a licensed vehicle. This status may be necessary for the length of time in this class. If this is necessary it will be listed in the specific position description for that position. Applicants and employees in this job title maybe required to submit to a drug screening test and background check. Applicants and employees in positions which perform job duties that may require contact with offenders in the custody or supervision of the Department of Corrections or with youth in the care, custody, or supervision of the Department of Juvenile Justice must meet qualifications pursuant to the federal Prison Rape Elimination Act, 28 C.F.R.115.17 and 115.317.

*THE COMMONWEALTH OF KENTUCKY DOES NOT DISCRIMINATE ON THE BASIS OF RACE, COLOR, RELIGION, SEX, NATIONAL ORIGIN, SEXUAL ORIENTATION OR GENDER IDENTITY, ANCESTRY, AGE, DISABILITY, POLITICAL AFFILIATION, GENETIC INFORMATION OR VETERAN STATUS IN ACCORDANCE WITH STATE AND FEDERAL LAWS.*